CERS2 Facility Submittal and Regulatory Status Fields

Prepared by Cal/EPA Unified Program   March 2011

During the February meetings of the CERS Regulator User Group, discussions were held on what types of status fields/values should be used to represent facility submittal and regulatory statuses in CERS2. This paper provides information about two additional Submittal Status values needed in CERS2, as well as information about how CERS2 will handle facility regulatory status.

Submittal Status Field

To assist with statistical and other reports, the *Submittal Status* field would be applied to each submittal element, not to an entire facility submittal as currently done in CERS1. The *Submittal Status* field (and the definitions below) would be prominently displayed to both business and regulator users. The two new statuses which will be implemented in CERS2 are highlighted in italics below.

- *Draft: A business/organization has begun preparing/entering program element data but has not yet submitted the data to their regulator for review. Regulators (and CERS Help Center staff) will have read-only rights to Draft submittals to assist/advise business users when necessary. However, Draft submittals will always be clearly marked as Draft and will never be included in any statistics or metric reports.*
- **Received**: The submitted program element has been recorded into CERS and meets minimal data validation requirements. Depending upon the program element, the regulator may be required to accept the submitted program element.
- **Under Review**: Regulator is reviewing the submitted program element.
- **Accepted**: Regulator has reviewed the submitted program element and finds the data/documents meet state and local reporting requirements.
- **Deficient**: Regulator has reviewed the submitted program element and finds the data/documents do not meet state and local reporting requirements. Regulator has required the business to make a new submission for the program element.
- *Not Applicable: Regulator has reviewed the submitted program element and determined the business/organization is not required and should not submit the data to the regulator. Submittals marked as Not Applicable will not be included in any CERS2 statistical reports, and businesses/organizations will not receive future reminders/alerts to submit the program element.*

Facility Regulator Status

The regulatory status of a facility is determined by which program elements are being submitted/monitored by the regulator. In CERS2, some program elements are broken up further into *submittal elements* because they must be submitted on different schedules and/or are monitored by different regulators (e.g., PAs).   The prototype below shows the screen a regulator would view in the CERS2 Regulator portal to review and/or set the regulatory status of a facility.

CERS Regulator Portal Prototype: Facility Detail Screen

Facility Name and Address Location

Business/Organization Name:	Earl Scheib, Inc.
Facility Name:	Earl Scheib #529
Facility Street Address:	1661 Broadway
Facility City:	Redwood City

Facility Zip:	94063

Facility Regulatory Status

Program/Submittal Element	Not Applicable	Applicable	Always Applicable	Last Submittal
Business Plan Program Element				
Facility Information Submittal Element	○	◉	○	2/1/11
Chemical Inventory Submittal Element	○	◉	○	2/1/11
Emergency Response and Training Plan Submittal Element	○	◉	○	1/3/10
Underground Storage Tank Program Element				
Underground Storage Tank Program Submittal Element	○	◉	○	5/15/10
Hazardous Waste/Tiered Permitting Program Element				
Hazardous Materials Treatment Notification Submittal Element	◉	○	○	
Recyclable Materials Report Submittal Element	○	◉	○	1/3/10
Remote Waste Consolidation Site Annual Notif. Submittal Element	◉	○	○	
Hazardous Waste Tank Closure Certification Submittal Element	◉	○	○	
Aboveground Petroleum Storage Act Program Element				
APSA Submittal Element	◉	○	○	
Cal/ARP Program Element				
Cal/ARP Submittal Element	◉	○	○	
Locally-Required Fields Program Element				
Locally-Required Submittal Element (locally-required fields)	○	○	◉	2/1/11

Not Applicable: Facility has NOT reported data for this element in its last/recent submittals. Regulator can set this value to reduce warnings/reminders/alerts to the business (e.g., business is exempt). This status will also be automatically set if a regulator reviews a submittal element and sets its **Submittal Status** to *Not Applicable*. This will ensure the business is not advised/warned to submit the submittal element in the future.

Applicable: Facility has reported data for this element in its last/recent submittals. The regulator can also set this flag to ensure the business is advised/warned to submit this element in its next submittal.

Always Applicable: This is an OPTIONAL setting regulators can use if they wish to ensure a business is ALWAYS prompted/warned to report data for this submittal element. Once set, only the regulator can un-set it.

If a regulator determines a business has closed or changed operations such that it is no longer regulated under the Unified Program, then they ensure that all submittal elements are set to ***Not Applicable***.

CERS2 will include reports in the Regulator portal showing counts of facilities by program element that have at least one submittal element shown as ***Applicable*** or ***Always Applicable***.